

09-29-00

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JCS25 US PTO
09/28/00

PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

ERICSON, GEORGE M.
SWITCH-BASED ACCELERATION OF COMPUTER
DATA STORAGE EMPLOYING AGGREGATIONS OF DISK
ARRAYS

Express Mail Label No. EK591633803US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. Applicant claims small entity status.
See 37 CFR 1.27.
3. Specification [Total Pages **35**]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings *(if filed)*
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawing(s) (35 U.S.C. 113) [Total Sheets **7**]
5. Oath or Declaration [Total Pages **3**]
 - a. Newly executed (original or copy)
 - b. Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 17 completed)
 - i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. Application Data Sheet. See 37 CFR 1.76

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-in-part (CIP)

of prior application No. _____ / _____

Prior application information: Examiner _____

Group / Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

| | | | | | |
|--|--|---|-----------|---|----------|
| <input type="checkbox"/> Customer Number or Bar Code Label | | (Indicate Customer No. or attach bar code label here) | | or <input checked="" type="checkbox"/> Correspondence address below | |
| Name | | Robert L. Dulaney | | | |
| Address | | EMC CORPORATION 35 PARKWOOD DRIVE | | | |
| City | | HOPKINTON | State | MA | Zip Code |
| Country | | U.S.A. | Telephone | 508-435-1000 | Fax |

| | | | |
|-------------------|------------------|-----------------------------------|--------|
| Name (Print/Type) | JOEL WALL | Registration No. (Attorney/Agent) | 25,648 |
| Signature | <i>Joel Wall</i> | | |
| | | Date 9-28-2000 | |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

JCS25 U.S.P.T.O.
09/28/00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Application of George M. Ericson et al)
For: Switch-Based Acceleration of Computer)
Data Storage Employing Aggregations of)
Disk Arrays)
Docket Number: JW-DG-668)

September 28, 2000

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231
Attention: NEW APPLICATIONS

Sir:

Enclosed herewith for filing is the above-captioned patent application. The following items are enclosed herewith:

1. Utility Patent Application Transmittal Form PTO/SB/05
2. Fee Transmittal for FY 2000 Form PTO/SB/17 (in duplicate)
3. Executed Assignment of Patent Application (three pages) with Recordation Form Cover Sheet Form PTO-1619A
4. Patent Application – 38 pages total including claims and abstract
5. Executed Declaration (three pages) stapled to back of Patent Application
6. Drawings – seven sheets with identification information on reverse sides
7. Return prepaid postcard

Respectfully submitted,


JOEL WALL – REG # 25,648

CERTIFICATION UNDER 37 C.F.R. SECTION 1.16

I hereby certify that this New Application Transmittal and the documents referred to as attached therein are being deposited with the United States Postal Service on September 28, 2000 in an envelope as "Express Mail Post Office to Addressee", mailing Label Number EK591633803US, addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

JOEL WALL



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FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)
1378-

Complete if Known

| | |
|----------------------|--------------------|
| Application Number | 9-28-2000 |
| Filing Date | ERICSON, GEORGE M. |
| First Named Inventor | |
| Examiner Name | |
| Group Art Unit | JW-DG-668 |
| Attorney Docket No. | |

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

05-0889

Deposit Account Name

ENAC CORPORATION Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 Applicant claims small entity status. See 37 CFR 1.272. Payment Enclosed: Check Credit card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

| Fee Code (\$) | Fee (\$) | Fee Code (\$) | Fee Description | Fee Paid |
|---------------|----------|---------------|-----------------|------------------------|
| 101 | 690 | 201 | 345 | Utility filing fee |
| 106 | 310 | 206 | 155 | Design filing fee |
| 107 | 480 | 207 | 240 | Plant filing fee |
| 108 | 690 | 208 | 345 | Reissue filing fee |
| 114 | 150 | 214 | 75 | Provisional filing fee |

SUBTOTAL (1) (\$) **690**

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|-----------------------|
| 30 | -20** = | 10 | 10 x 690 = 100 |
| 9 | -3** = | 6 | 6 x 78 = 468 |
| Multiple Dependent | | | |

*or number previously paid, if greater. For Reissues, see below

Large Entity Small Entity

| Fee Code (\$) | Fee (\$) | Fee Code (\$) | Fee Description |
|---------------|----------|---------------|-----------------|
| 103 | 18 | 203 | 9 |
| 102 | 78 | 202 | 39 |
| 104 | 260 | 204 | 130 |
| 109 | 78 | 209 | 39 |
| 110 | 18 | 210 | 9 |

SUBTOTAL (2) (\$) **648**

3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee (\$) | Fee Description | Fee Paid | |
|----------------------------|----------------------------|----------|-----------------|--|---|
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 380 | 216 | 190 | Extension for reply within second month | |
| 117 | 870 | 217 | 435 | Extension for reply within third month | |
| 118 | 1,360 | 218 | 680 | Extension for reply within fourth month | |
| 128 | 1,850 | 228 | 925 | Extension for reply within fifth month | |
| 119 | 300 | 219 | 150 | Notice of Appeal | |
| 120 | 300 | 220 | 150 | Filing a brief in support of an appeal | |
| 121 | 260 | 221 | 130 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,210 | 241 | 605 | Petition to revive - unintentional | |
| 142 | 1,210 | 242 | 605 | Utility issue fee (or reissue) | |
| 143 | 430 | 243 | 215 | Design issue fee | |
| 144 | 580 | 244 | 290 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Petitions related to provisional applications | |
| 126 | 240 | 126 | 240 | Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | |
| 146 | 690 | 246 | 345 | 40 | Filing a submission after final rejection (37 CFR § 1.129(a)) |
| 149 | 690 | 249 | 345 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 690 | 279 | 345 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) **40**

Complete (if applicable)

| | | | | | |
|-------------------|------------------|--------------------------------------|---------------|-----------|---------------------|
| Name (Print/Type) | JOEL WALL | Registration No. (Attorney/Agent) | 25,648 | Telephone | 508-435-4432 |
| Signature | <i>Joel Wall</i> | | | Date | 9-28-2000 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.